

Model State Plan(CSBG)

Program Name: Community Services Block Grant

Grantee Name: ALABAMA

Report Name: Model State Plan(CSBG) Revision # 2

Report Period: 10/01/2016 to 09/30/2017


Report Status: Submission Accepted by CO (Revision #2)

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CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)				Form Approved OMB No: 0970-0382 Expires: 08/31/2016	
COVER PAGE					
* 1.a. Type of Submission: Plan		* 1.b. Frequency: Other (2 Year)		* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	
		2. Date Received:		* 1.d. Version: Initial	
		3. Applicant Identifier:		State Use Only:	
		4a. Federal Entity Identifier:			
		4b. Federal Award Identifier:		5. Date Received By State:	
				6. State Application Identifier:	
7. APPLICANT INFORMATION					
* a. Legal Name: Alabama Department of Economic and Community Affairs					
* b. Employer/Taxpayer Identification Number (EIN/TIN): 636000619				* c. Organizational DUNS: 062620604	
* d. Address:					
* Street 1:	401 Adams Avenue		Street 2:	P.O. Box 5690	
* City:	Montgomery		County:	Montgomery	
* State:	Al		Province:		
* Country:	United States		* Zip / Postal Code:	36103 - 5690	
e. Organizational Unit:					
Department Name: Community Services Unit				Division Name: Community and Economic Development	
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix:	* First Name: Rhoda		Middle Name:		* Last Name: Talley
Suffix:	Title: CSBG Program Mgr.		Organizational Affiliation: Alabama Department of Economic and Community Affairs		
* Telephone Number: (334) 242-5412	Fax Number (334) 353-4311		* Email: rhoda.talley@adeca.alabama.gov		
* 8a. TYPE OF APPLICANT: A: State Government					
b. Additional Description:					
* 9. Name of Federal Agency:					
		Catalog of Federal Domestic Assistance Number:		CFDA Title:	
10. CFDA Numbers and Titles		93569		Community Services Block Grant	
11. Descriptive Title of Applicant's Project Administration of Alabama's CSBG Program					
12. Areas Affected by Funding: All of Alabama's 67 counties are covered by the State's 21 community action agencies					
13. CONGRESSIONAL DISTRICTS OF:					
* a. Applicant 02			b. Program/Project: Statewide - Districts 1-7		
Attach an additional list of Program/Project Congressional Districts if needed.					
14. FUNDING PERIOD:			15. ESTIMATED FUNDING:		
a. Start Date:	b. End Date:		* a. Federal (\$): \$0	b. Match (\$): \$0	
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?					
a. This submission was made available to the State under the Executive Order 12372					

Process for Review on :	
b. Program is subject to E.O. 12372 but has not been selected by State for review.	
c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt?	
<input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
	12/07/2016
Attach supporting documents as specified in agency instructions.	

Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No:0970-0382 Expires:08/31/2016	
SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter			
1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.			
1.1a. Lead agency	Alabama Department of Economic and Community Affairs		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
Community Affairs Department			
1.1c. Division, bureau, or office of the CSBG authorized official	Alabama Department of Economic and Community Affairs		
1.1d. Authorized official of lead agency	Jim Byard, Jr.		
1.1e. Street Address	401 Adams Avenue, Suite 580		
1.1f. City	Montgomery	1.1g. State AL	1.1h. Zip 36104
1.1i. Telephone number and extension (334) 242 - 5591 ext.		1.1j. Fax number: (334) 242 - 5099	
1.1k. Email address jim.byard@adeca.alabama.gov		1.1l. Lead agency website www.adeca.alabama.gov	
1.2. Provide the following information in relation to the designated State CSBG point of contact			
1.2a. Agency name	Alabama Department of Economic and Community Affairs		
1.2b. Name of the point of contact	Rhoda Talley		
1.2c. Street address	401 Adams Avenue, Suite 524		
1.2d. City	Montgomery	1.2e. State AL	1.2f. Zip 36104
1.2g. Point of contact telephone number (334) 242 - 5412 ext.		1.2h. Fax number (334) 353 - 4311	
1.2i. Point of contact email address rhoda.talley@adeca.alabama.gov		1.2j. Point of contact agency website www.adeca.alabama.gov	
1.3. Designation Letter: <i>Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.</i>			

Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? ☒ Yes ☐ No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? ☒ Yes ☐ No

2.3. If yes was selected in item 2.1 and/or 2.2, *attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.*

2.4. State Authority:

Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? ☐ Yes ☒ No

2.4b. Did the State establish or amend regulations for CSBG last year? ☐ Yes ☒ No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? ☒ Yes ☐ No

Section 3: State Plan Development and Statewide Goals

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SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the State agency that serves as the CSBG Lead Agency.

ADECA is responsible for administering a broad range of state and federal programs that contribute to the department's mission, Building Better Alabama Communities. Each year we distribute hundreds of millions of dollars to Alabama cities, counties, non-profit organizations and others. Our grants support economic development projects, infrastructure improvements, job training, energy conservation, law enforcement, traffic safety, recreation development and assistance to low-income families. We also work to monitor and protect Alabama's water resources, and we distribute state and federal surplus property to local governments and other qualified organizations. ADECA programs are as diverse as the people of Alabama and impact every corner of the state. The department works to assist children, the elderly, victims of crime and abuse, the disadvantaged and poor and the unemployed. Businesses, local governments, schools and non-profit organizations benefit from the hundreds of grants and contracts administered by ADECA.

3.2. State Plan Goals:

Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

(Note: This item is associated with State Accountability Measure 1Sa(i) and may pre-populate the State's Annual Report form.)

ADECA's goals for the community action network are to improve the lives of low-income Alabama families by providing services to secure and retain meaningful employment, attain an adequate education, make better use of available income, obtain and maintain adequate housing and a suitable living environment, obtain emergency assistance, remove obstacles and solve problems which block the achievement of self-sufficiency, and achieve greater participation in the affairs of the community. ADECA met with agency management and staff to discuss the CSBG goals. ADECA will continue to work with agencies to develop linkages to accomplish the goals

3.3. State Plan Development:

Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of *[Check all that apply and narrative where applicable]*



State Performance Indicators and/or National Performance Indicators (NPIs)



U.S. Census data



State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)



Other data [describe]



Eligible entity community needs assessments



Eligible entity plans



Other information from eligible entities (e.g., State required reports) [describe]

3.3b. Consultation with *[Check all that apply and narrative where applicable]*



Eligible entities (e.g. meetings, conferences, webinars; not including the public hearing)



State community action association and regional CSBG T&TA providers



State partners and/or stakeholders (describe)



National organizations (describe)



Federal Office of Community Services



Other (describe)

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)

In addition to information gained through routine contact and monitoring activities throughout the year, ADECA met with agency executive directors and staff and State Association staff to discuss the plan and to gather information for input in the plan.

If this is the first year filling out the automated State Plan, skip the following question.

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order

- 1) to encourage eligible entity participation and
- 2) to ensure the State Plan reflects input from eligible entities?

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

(Note: This information is associated with [State Accountability Measures ISb\(i\) and \(ii\)](#) and may pre-populate the State's annual report form)

ADECA's CSBG staff provided the opportunity for eligible entities within the State to contribute to the State Plan by hosting a centrally-located meeting for plan review and comment. Representatives of a majority of the State's community action agencies attended the meeting. The CSBG staff reviewed each component of the plan in detail. The executive director of the State Association assisted in facilitating the receiving of comments. A copy of the draft State Plan was made available on ADECA's website and a hard copy was provided to each agency. A 30-day comment period was provided subsequent to the meeting and no comments were received for the agencies. As a result of ACSI review regarding participation in the State's Plan development, we will formalize the process used in 2016 as described above. Specifically, we will provide the draft plan to our stakeholders through the State's data base and email. Additionally, we will host one meeting to review the plan following agency input, and will continue to provide a 30-day comment period.

If this is the first year filling out the automated State Plan, skip the following question.

3.5. Eligible Entity Overall Satisfaction:

Provide the State's [target](#) for eligible entity Overall Satisfaction during the performance period: **73**

(Note: Item 3.5 is associated with [State Accountability Measure 8S](#) and may pre-populate the State's annual report form)

Section 4: CSBG Hearing Requirements

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Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under [Section 676\(e\)\(2\)](#) of the Act.

The draft plan was placed on the ADECA website and a copy of the draft plan was emailed to agency executive directors.

4.2. Public Notice/Hearing:

Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) of the CSBG Act.

The public hearing was held on July 29, 2016 and 30 days were allowed for comment. Notice of the public hearing was distributed statewide to include mayors, county commissions and low income citizens. The notices were posted on the ADECA website, the Alabama Secretary of State's website (in accordance with the Open Meetings Act), in city and town halls, courthouses and locations of the community action agencies.

4.3. Public and Legislative Hearings:

Specify the [date\(s\)](#) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) and [Section 676\(a\)\(3\)](#) of the Act.

(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.).

	Date	Location	Type of Hearing [Select an option]
1	07/29/2016	Alabama Center for Commerce, 401 Adams Ave., Montgomery, AL	Public
2	08/07/2014	Alabama State House, 44 S. Union St., Room 418, Montgomery AL	Legislative

4.4. Attach supporting [documentation](#) or a hyperlink for the public and legislative hearings.

Section 5: CSBG Eligible Entities

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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Community Action Agency of Northwest Alabama, Inc.	Nonprofit	Community Action Agency (CAA)	Colbert, Franklin, Lauderdale	
2	Community Action Partnership Huntsville/Madison & Limestone Counties, Inc.	Nonprofit	Community Action Agency (CAA)	Limestone, Madison	
3	Walker County Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Walker	
4	Community Action of Etowah County, Inc.	Nonprofit	Community Action Agency (CAA)	Etowah	
5	Community Action Agency of Talladega, Clay, Randolph, Calhoun, and Cleburne Counties, Inc.	Nonprofit	Community Action Agency (CAA)	Talladega, Clay, Randolph, Calhoun, Cleburne	
6	Eleventh Area of Alabama Opportunity Action Committee, Inc.	Nonprofit	Community Action Agency (CAA)	Shelby, Chilton	
7	Community Action Committee, Inc. Chambers-Tallapoosa-Coosa	Nonprofit	Community Action Agency (CAA)	Chambers, Tallapoosa, Coosa	
8	Montgomery Community Action Committee and Community Development Corporation, Inc.	Nonprofit	Community Action Agency (CAA)	Montgomery	
9	Organized Community Action Program, Inc.	Nonprofit	Community Action Agency (CAA)	Bullock, Butler, Covington, Crenshaw, Dale, Pike, Lowndes	
10	Community Action Agency of Northeast Alabama, Inc.	Nonprofit	Community Action Agency (CAA)	Blount, Cherokee, DeKalb, Jackson, Marshall, St. Clair	
11	Marion-Winston Counties Community Action Committee, Inc.	Nonprofit	Community Action Agency (CAA)	Marion, Winston	
12	The Jefferson County Committee for Economic Opportunity	Nonprofit	Community Action Agency (CAA)	Jefferson	
13	Mobile Community Action, Inc.	Nonprofit	Community Action Agency (CAA)	Mobile, Washington	
14	Macon Russell Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Macon, Russell	
15	Pickens County Community Action Committee, and Community Development Corporation, Inc.	Nonprofit	Community Action Agency (CAA)	Pickens	
16	Southeast Alabama Community Action Partnership (formerly dba Human Resource Development Corporation)	Nonprofit	Community Action Agency (CAA)	Barbour, Coffee, Geneva, Henry, Houston	
17	Community Action Agency of South Alabama	Nonprofit	Community Action Agency (CAA)	Baldwin, Escambia, Clarke, Monroe, Conecuh, Marengo, Wilcox	
	Community Action Partnership		Community Action Agency		

18	of North Alabama, Inc.	Nonprofit	(CAA)	Cullman, Lawrence, Morgan	
19	Community Services Programs of West Alabama, Inc.	Nonprofit	Community Action Agency (CAA)	Bibb, Fayette, Greene, Hale, Lamar, Tuscaloosa, Choctaw, Sumter	
20	Community Action Agency of Central Alabama	Nonprofit	Community Action Agency (CAA)	Elmore, Autauga, Dallas, Perry	
21	Alabama Council on Human Relations, Inc.	Nonprofit	Limited Purpose Agency	Lee	

5.2 Total number of CSBG eligible entities [21](#)

5.3 Changes to Eligible Entities List:

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? ☐ Yes ☒ No

If yes, please briefly describe the changes.

Section 6: Organizational Standards for Eligible Entities

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SECTION 6 Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

- a) attach the complete list of alternative organizational standards,
- b) describe the reasons for using alternative standards, and
- c) describe how the standards are at least as rigorous as the COE-developed standards.

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? ☒ Yes ☐ No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale.

Minor modifications were made for the State's one (1) limited purpose agency. The changed standards are listed on the attachment under 6.1

6.3 How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. [Check all that apply and narrative where applicable]

- ☐ Regulation
- ☐ Policy
- ☒ Contracts with eligible entities
- ☐ Other, describe:

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138? [Check all that apply.]

- ☐ Peer-to-peer review (with validation by the State or State-authorized third party)
- ☐ Self-assessment (with validation by the State or State-authorized third party)
- ☐ Self-assessment/peer review with State risk analysis
- ☐ State-authorized third party validation
- ☒ Regular, on-site CSBG monitoring
- ☒ Other

6.4a. Describe the assessment process.

The State will perform on-site monitoring for 1/3 of the 21 eligible entities each year. The remaining eligible entities will enter documentation to support compliance of the organizational standards into the State's data system. Monthly desk reviews are used to track progress. State CSBG staff will review for compliance.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138 ☐ Yes ☒ No

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

If this is the first year filling out the automated State Plan, skip the following question.

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? (Provide as a percentage) 40%

Note: This information is associated with State Accountability Measures 6Sa and may prepopulate the State's annual report form.

Section 7: State Use of Funds

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SECTION 7 State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula:

Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

Formula Alone

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? ☒ Yes ☐ No

7.2. Planned Allocation:

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Community Action Agency of Northwest Alabama, Inc.	\$0	3.85%	\$0	3.85%
2	Community Action Partnership Huntsville/Madison & Limestone Counties, Inc.	\$0	6.08%	\$0	6.08%
3	Walker County Community Action Agency, Inc.	\$0	1.58%	\$0	1.58%
4	Community Action of Etowah County, Inc.	\$0	2.19%	\$0	2.19%
5	Community Action Agency of Talladega, Clay, Randolph, Calhoun, and Cleburne Counties, Inc.	\$0	5.88%	\$0	5.88%
6	Eleventh Area of Alabama Opportunity Action Committee, Inc.	\$0	2.74%	\$0	2.74%
7	Community Action Committee, Inc. Chambers-Tallapoosa-Coosa	\$0	2.02%	\$0	2.02%
8	Montgomery Community Action Committee and Community Development Corporation, Inc.	\$0	5.25%	\$0	5.25%
9	Organized Community Action Program, Inc.	\$0	4.64%	\$0	4.64%
10	Community Action Agency of Northeast Alabama, Inc.	\$0	7.80%	\$0	7.80%
11	Marion-Winston Counties Community Action Committee, Inc.	\$0	1.28%	\$0	1.28%
12	The Jefferson County Committee for Economic Opportunity	\$0	12.66%	\$0	12.66%
13	Mobile Community Action, Inc.	\$0	10.22%	\$0	10.22%
14	Macon Russell Community Action Agency, Inc.	\$0	2.16%	\$0	2.16%
15	Pickens County Community Action Committee, and Community Development Corporation, Inc.	\$0	0.68%	\$0	0.68%
16	Southeast Alabama Community Action Partnership (formerly dba Human Resource Development Corporation)	\$0	4.78%	\$0	4.78%
17	Community Action Agency of South Alabama	\$0	7.16%	\$0	7.16%
18	Community Action Partnership of North Alabama, Inc.	\$0	4.47%	\$0	4.47%
19	Community Services Programs of West Alabama, Inc.	\$0	7.43%	\$0	7.43%
20	Community Action Agency of Central Alabama	\$0	3.95%	\$0	3.95%

21	Alabama Council on Human Relations, Inc.	\$0	3.18%	\$0	3.18%
Total		\$0	100.00%	\$0	100.00%

7.3. Distribution Process:

Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

The State allocates 95% of the allocated CSBG funds. Prior to receiving the allocation letter contracts are prepared with all information except the amount. Approximate time - 4-5 days. When the allocation letter is received the distribution per entity is calculated and the amounts are entered into the contracts and a cover letter is developed. Approximate time - 3-4 days. A summary for State Legislatures is prepared. Approximate time - 4-5 days The contracts, letters, and summaries are proofed by CSBG staff. Approximate time - 3-4 days. These are then forwarded to Unit Chief, Division Chief, Accounting Section, Legal Section, Audit Section for review. After these reviews, the Division Director signs the contract. Approximate time 5-7 days. The Communication and External Affairs Divisions finalizes summaries, prepares press release, notifies State Legislatures of grant awards and assigns release date. Approximate time - 4-5 days. The contracts are mailed out to eligible entities on the release date.

7.4. Distribution Timeframe:

Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? ☒ Yes ☐ No

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

7.5. Performance Management Adjustment:

How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.

Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the State's annual report form.

The State held a meeting with the eligible entities for their input on June 16, 2016 and a public hearing on July 29, 2016 to obtain public input. The State has always strived to get contracts out in a timely manner (within 30 days) and will continue to do so.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage 5 ☐ \$ ☒ %

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 7

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? 4

Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

7.9. Does the State have remainder/discretionary funds? ☐ Yes ☒ No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

Note: This response will link to the corresponding assurance, Item 14.2.

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2 If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

Note: This information is associated with State Accountability Measures 3Sa and may pre-populate the State's annual report form

Use of Remainder/Discretionary Funds(SeeSection 675C(b)(1) of the CSBG Act)

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$0.00	0.00%	\$0.00	0.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	0.00%	\$0.00	0.00%	
c. Statewide coordination and communication among eligible entities	\$0.00	0.00%	\$0.00	0.00%	
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	0.00%	\$0.00	0.00%	
e. Asset-building programs	\$0.00	0.00%	\$0.00	0.00%	
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	0.00%	\$0.00	0.00%	
g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%	
h. Other activities, specify in column 6	\$0.00	0.00%	\$0.00	0.00%	

Total	\$0.00	0.00%	\$0.00	0.00%
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7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.[Check all that apply and narrative where applicable]

☐ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds)

☐ Other community-based organizations

☐ State Community Action association

☐ Regional CSBG technical assistance provider(s)

☐ National technical assistance provider(s)

☐ Individual consultant(s)

☐ Tribes and Tribal Organizations

☐ Other

☒ None (the State will carry out activities directly)

Note: This response will link to the corresponding CSBG assurance, item 14.2.

If this is the first year filling out the automated State Plan, skip the following question.

7.11. Performance Management Adjustment:
How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with [State Accountability Measures 3Sb](#), and may pre-populate the State's annual report form.

The State of Alabama, through legislation, passes the 5 percent discretionary funds to the community action agencies. ADECA regularly informs the agencies of their responsibility to use the discretionary funds to provide training and technical assistance for employees and board members. The State, along with the CAA Association, has identified a need to consider returning discretionary funds to the State. However, there is currently minimal support for this action.

Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 8 State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.
(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

Note: This information is associated with State Accountability Measure 3Scand may pre-populate the State's annual report form.

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY1-Q1	Both	Technology	
2	FY1-Q2	Both	Other	Annual Plan training/ta
3	FY1-Q1	Technical Assistance	Standards for eligible entities with unmet standards on TAPs and QIPs	
4	FY2-Q1	Both	Technology	
5	FY2-Q2	Technical Assistance	Standards for eligible entities with unmet standards on TAPs and QIPs	
6	FY2-Q4	Technical Assistance	Standards for eligible entities with unmet standards on TAPs and QIPs	
7	FY1-Q3	Technical Assistance	Standards for eligible entities with unmet standards on TAPs and QIPs	
8	FY1-Q4	Technical Assistance	Standards for eligible entities with unmet standards on TAPs and QIPs	
9	FY2-Q1	Technical Assistance	Standards for eligible entities with unmet standards on TAPs and QIPs	
10	FY2-Q2	Technical Assistance	Standards for eligible entities with unmet standards on TAPs and QIPs	
11	FY2-Q3	Technical Assistance	Standards for eligible entities with unmet standards on TAPs and QIPs	
12	FY2-Q2	Both	Other	Annual Plan training/ta
13	FY1-Q2	Training	Organizational Standards - General	
14	FY2-Q2	Training	Organizational Standards - General	
15	FY1-Q1	Training	Organizational Standards - General	
16	FY1-Q1	Training	Organizational Standards - General	

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) **\$0**

If this is the implementation year for organizational standards, skip the following question.

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate? ☐ Yes ☒ No

Note: This information is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

The State is currently developing TAP for four agencies that will be put in place during the 1st quarter of FY 2017.

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement [Check all that applies and narrative where applicable]

☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)

☐ Other community-based organizations

☒ State Community Action association

☐ Regional CSBG technical assistance provider(s)

☐ National technical assistance provider(s)

☐ Individual consultant(s)

<input type="checkbox"/> Tribes and Tribal Organizations
<input type="checkbox"/> Other
<i>If this is the first year filling out the automated State Plan, skip the following question.</i>
8.4. Performance Management Adjustment: How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.
<i>Note: This information is associated with State Accountability Measures 3Sd may pre-populate the State's annual report form</i>
<p>The State will provide technical assistance to agencies with unmet standards within 90 days of monitoring visit. In addition, the State Association will also provide technical assistance to it's members to the same agencies. The State will develop a training and technical assistance plan jointly with the State Association once a template is developed. The State currently participates in the State Association's annual conference and annual board retreat by providing workshops on various topics. The State CSBG staff and State Association staff plan to meet on a quarterly basis to determine training and technical assistance needed by the agencies.</p>

Section 9: State Linkages and Communication

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 9 State Linkages and Communication

Note: This section describes activities that the State may support with CSBG remainder/discretionary funds, described under [Section 675C\(b\)\(1\)](#) of the CSBG Act. The State may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

9.1 State Linkages and Coordination at the State Level:

Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under [Section 676\(b\)\(5\)](#)).

Describe or attach additional information as needed. [Check all that apply and narrative where applicable]

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with [State Accountability Measure 7Sa](#) and may pre-populate the State's annual report form.

☒ State Low Income Home Energy Assistance Program (LIHEAP) office

☒ State Weatherization office

☐ State Temporary Assistance for Needy Families (TANF) office

☐ State Head Start office

☐ State public health office

☐ State education department

☐ State Workforce Innovation and Opportunity Act (WIOA) agency

☐ State budget office

☐ Supplemental Nutrition Assistance Program (SNAP)

☐ State child welfare office

☐ State housing office

☐ Other

[Click paper clip to attach file]

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under [Section 675C\(b\)\(B\)](#) and as required by assurance under [Sections 676\(b\)\(5\)](#) of the CSBG Act. Attach additional information as needed.

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

The State's data system automatically generates a referral letter for child support and career center for clients who are not receiving child support or who are not employed. While conducting the community assessments, agencies are able to identify the available resources to which they can refer clients. The State reviews the assessments carefully, to ensure resources are identified so agencies are not duplicating services. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under [Section 676\(b\)\(5\)](#)). *[Attach additional information as needed.]*

Note: This response will link to the corresponding CSBG assurance, item 14.5.

During monitoring visits and technical assistance visits as well as the monthly desk reviews, State staff review partnership documentation, board minutes, MOUs to ensure agencies are compliant. As part of the eligible entity's annual Community Action Plan (CAP), each entity signs an assurance that the CAA will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. The community assessments prepared by each entity must identify resources currently available in the service areas so that duplication of services does not occur. *[Click paper clip to attach file]*

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:

Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under [Section 676\(b\)\(3\)\(B\)](#) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, item 14.3b.

Each eligible entity is required to conduct a comprehensive needs assessment every three (3) years. The gaps in services are identified and the agency, if unable to meet the need, partners with other entities to fill the need. At the time of intake, clients are assessed on 11 dimensions and a matrix is produced that indicates areas that services are needed. The agency then uses their partnerships to meet the needs that are not offered at their agency.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:

Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation

and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? ☒ Yes ☐ No

Note: This response will link to the corresponding CSBG assurance, item 14.5.

9.4a If the State selected "yes" under item 9.4, provide the CSBG-specific information included in the State's WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

See draft copy of MOU attached on 9.3 (original is in signature process).

9.4b. If the State selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

9.5. Emergency Energy Crisis Intervention:

Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act).

Note: This response will link to the corresponding CSBG assurance, item 14.6.

ADECA administers the Low-Income Home Energy Assistance (LIHEAP) program. Funding is provided to the community action agencies in 66 of Alabama's counties (the other county is serviced by another non-profit). Energy assistance services include Heating, Cooling and Emergency Assistance. The eligible entities work closely with energy providers to serve those in need of assistance.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:

Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.9.

As part of the eligible entity's annual Community Action Plan (CAP), each entity signs an assurance that the CAA will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. During monitoring visits State staff ensure that the agencies work with these groups. *[Click paper clip to attach file]*

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:

Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.3c.

Agencies coordinate and collaborate with resource partnerships in an ongoing effort to ensure that agencies have funding to meet client needs, staff and overhead expenses. Some agencies use funding to expand programs such as Meals on Wheels, Senior Companion, Foster Grandparent, and Fatherhood Initiatives. Agencies partner with private entities such as banks to provide financial literacy workshops to educate individuals and families on managing available income.

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

Nineteen of the State's twenty-one community action agencies are members of the State Association. State CSBG staff coordinate with the Association in providing training and technical assistance to agencies in need. The State staff also encourages membership and participation in the Association activities. State staff participate by presenting workshops at the Association's annual conference and board retreats.

9.9 Communication with Eligible Entities and the State Community Action Association:

In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	State Plan	Annually	Meetings/Presentation	
2	Agency Annual CAP	Annually	Meetings/Presentation	
3	Training Workshops at Association Conference	Semi-Annually	Meetings/Presentation	
4	Board Governance Training for CAAs	Other	Meetings/Presentation	as needed or requested
5	Annual IS Report	Annually	Meetings/Presentation	
6	Organizational Standards	Monthly	Email	

9.10. Feedback to Eligible Entities and State Community Action Association:

Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

Note: This information is associated with State Accountability Measure 5S(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

Once information is received from OCS, the State will inform agencies and State Association with results within 60 days of receipt via email and final report will be posted on State Agency website.

If this is the first year filling out the automated State Plan, skip the following question.

9.11. Performance Management Adjustment:

How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 7Sb; this response may pre-populate the State's annual report form.

An analysis of ACSI results indicates a need for improvement in State linkages and communication. Communication is considered a primary focus for enhancement at this time. Proposed improvements in this area include the addition of an annual meeting dedicated primarily to the review and discussion of ACSI evaluation results. The State

will facilitate a discussion regarding administrative improvements for the CSBG program. Also, on ADECA's website we will provide useful linkages to State and federal agencies and organizations for use by Community Action Agencies. We will post special grant, program or event information as obtained from the agencies. In an effort to encourage idea-sharing, the website will potentially include a brief description of what each Community Action Agency is doing in their local area. It will also feature "best practices" from among the agencies in order to encourage healthy competition, and an opportunity for feedback from the CAAs.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 10

Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities

(Section 678B(a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate "no review" for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State's proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"	
1	Community Action Agency of Northwest Alabama, Inc.	Full onsite	FY1 Q3	07/29/2014		
2	Community Action Partnership Huntsville/Madison & Limestone Counties, Inc.	Other		11/17/2015	monthly desk reviews and annual monitoring for organizational standards	
3	Walker County Community Action Agency, Inc.	Full onsite	FY1 Q1	11/12/2013		
4	Community Action of Etowah County, Inc.	Other		10/06/2015	monthly desk reviews and annual monitoring for organizational standards	
5	Community Action Agency of Talladega, Clay, Randolph, Calhoun, and Cleburne Counties, Inc.	Other		05/03/2016	monthly desk reviews and annual monitoring for organizational standards	
6	Eleventh Area of Alabama Opportunity Action Committee, Inc.	Full onsite	FY2 Q2	03/24/2015		
7	Community Action Committee, Inc. Chambers-Tallapoosa-Coosa	Other		09/29/2015	monthly desk reviews and annual monitoring for organizational standards	
8	Montgomery Community Action Committee and Community Development Corporation, Inc.	Other		04/07/2016	monthly desk reviews and annual monitoring for organizational standards	
9	Organized Community Action Program, Inc.	Full onsite	FY2 Q1	10/21/2014		
10	Community Action Agency of Northeast Alabama, Inc.	Full onsite	FY2 Q4	09/22/2015		
11	Marion-Winston Counties Community Action Committee, Inc.	Full onsite	FY1 Q1	09/05/2013		
12	The Jefferson County Committee for Economic Opportunity	Full onsite	FY2 Q3	04/14/2015		
13	Mobile Community Action, Inc.	Full onsite	FY1 Q1	11/04/2013		
14	Macon Russell Community Action Agency, Inc.	Other		06/07/2016	monthly desk reviews and annual monitoring for organizational standards	
15	Pickens County Community Action Committee, and Community Development Corporation, Inc.	Full onsite	FY1 Q1	10/21/2013		
16	Southeast Alabama Community Action Partnership (formerly dba Human Resource Development Corporation)	Full onsite	FY2 Q1	11/18/2014		
17	Community Action Agency of South Alabama	Full onsite	FY2 Q3	03/09/2015		
18	Community Action Partnership of North Alabama, Inc.	Full onsite	FY2 Q2	09/09/2015		
19	Community Services Programs of West Alabama, Inc.	Full onsite	FY1 Q1	12/02/2013		
	Community Action Agency of Central					

20	Alabama	Full onsite	FY1 Q2	08/06/2013	
21	Alabama Council on Human Relations, Inc.	Full onsite	FY2 Q2	01/21/2015	

10.2. Monitoring Policies:
Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

10.3. Initial Monitoring Reports:
According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the State's annual report form.

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Corrective Action, Termination and Reduction of Funding and Assurance Requirements
(Section 678C of the Act)

10.4. Closing Findings:
Are State procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? ☒ Yes ☐ No

10.4a. If no describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of the closure of findings.

10.5. Quality Improvement Plans (QIPs):
How many eligible entities are currently on Quality Improvement Plans?

Note: The QIP information is associated with State Accountability Measures 4Sc.

0

10.6. Reporting of QIPs:
Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

Note: This item is associated with State Accountability Measures 4Sa(iii).

see page 70 of State CSBG Policies and Procedures

10.7. Assurance on Funding Reduction or Termination:
Does the State assure, according to Section 676(b)(8), "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)". ☒ Yes ☐ No

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? ☒ Yes ☐ No

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

Procedures to reduce or terminate funding to a Community Action Agency will be initiated according to State and federal policies. Re-designation is subject to the procurement process in compliance with Section 676A of the CSBG Act.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? ☒ Yes ☐ No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.

The State's procedures for de-designation and re-designation of a Community Action Agency include following guidance set forth in Alabama Department of Economic and Community Affairs's Community Services Division's Administrative Code, Chapter 305-2-3 (copy attached), and adhering to CSBG IM No. 116 as well as 676A of the CSBG Act. As stated in IM-116, ADECA will offer training and technical assistance to the Community Action Agency to correct identified deficiencies or failures to meet State requirements. ADECA will prepare and submit to the Secretary a report describing the training and technical assistance offered.

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? ☒ Yes ☐ No

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

As specified in Section 678B(a) of the CSBG Act, ADECA will conduct monitoring visits and a full on-site review of each Community Action Agency in its jurisdiction at least once every three-years. ADECA will also conduct an on-site review of any newly designated entity immediately after the completion of the first year in which the entity receives CSBG funds. Further, ADECA will conduct a review of agencies who have had other programs terminated for cause to ensure that comparable issues do not exist for CSBG funds. Follow-up reviews will be conducted promptly to entities which fail to meet goals, standards, and requirements established by the State. ADECA will document the basis for determining the specific deficiency or deficiencies that must be corrected. As soon as practicable after a monitoring visit is completed, the State documents the visit with a complete report of deficiencies provided to the Board Chairman (or to all Board members when necessary) and to the Executive Director. The Community Action Agency is required to correct the deficiencies by deadlines established in the report, and the State offers training or technical assistance to the entity in that endeavor. The State will submit to the Secretary a report describing the training and/or technical assistance offered, or explaining why the State did not feel it was appropriate to offer training or technical assistance. The Community Action Agency is given an appropriate timeframe to correct noted deficiencies and respond to the monitoring report. If the response is not satisfactory, then the CAA is either given another thirty days to correct the findings, or the State may choose to put the agency under a Quality Improvement Plan depending on the State's judgment of the severity of the finding and/or the likelihood that it will be corrected within the specified timeframe. Based on ADECA's determination of the seriousness of the deficiency and the time reasonably necessary to correct it, the State may require the Community Action Agency to develop a Quality Improvement Plan within 30 days, and implement that plan within 60 days after being informed of the deficiency or deficiencies. ADECA will review the QIP and issue a decision on whether it is approved within 30 days after receipt of the plan. Re-designation is subject to the procurement process in compliance with Section 676A of the CSBG Act.

Fiscal Controls and Audits and Cooperation Assurance

<p>10.11. Fiscal Controls and Accounting: Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).</p>
<p>Grant awards and subgrant agreements (contracts) are entered into the ADECA accounting system when received with required approvals. Budgets are specifically recorded to federal budgeted line items and fund sources in a unique cost objective (cost center). Each contract is associated to the applicable cost center based on program purpose. As payments are processed to the contract and cost centers, budget balances are adjusted accordingly. Expenditures as well as budget to actual comparisons are reported monthly and cumulatively for management and financial reporting. These reports are used to prepare the SF-425 Federal fiscal reports (FFR).</p>
<p>10.12. Single Audit Management Decisions: Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR Â§75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK HERE FOR LINK TO 45 CFR Â§75.521</p>
<p><i>Note: This information is associated with State Accountability Measure 4Sd.</i></p>
<p>see Audit attachment under 10.11</p>
<p>10.13. Assurance on Federal Investigations: Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D(a)" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? <input checked="" type="radio"/> Yes <input type="radio"/> No</p>
<p><i>If this is the first year filling out the automated State Plan, skip the following question.</i></p>
<p>10.14. Performance Management Adjustment: How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.</p>
<p><i>Note: This item is associated with State Accountability Measure 4Sb and may pre-populate the State's annual report form.</i></p>
<p>The State has not adjusted the monitoring procedures. However, more follow-up and technical assistance is being offered to entities. The State received no comments on the ACSI concerning monitoring.</p>

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 11 Eligible Entity Tripartite Board

11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under [Section 676B](#) of the CSBG Act? *[Check all that applies and narrative where applicable]*

- ☒ Attend Board meetings
- ☒ Review copies of Board meeting minutes
- ☒ Keep a register of Board vacancies/composition
- ☐ Other

11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? *[Check all that applies and narrative where applicable]*

- ☐ Annually
- ☐ Semiannually
- ☒ Quarterly
- ☒ Monthly
- ☒ Other as specified by agencies bylaws

11.3. Assurance on Eligible Entity Tripartite Board Representation:

Describe how the State will carry out the assurance under [Section 676\(b\)\(10\)](#) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

Note: This response will link with the corresponding assurance, item 14.10.

As part of the State's monitoring procedures, State CSBG staff ensure that each agency has policies and procedures in place for petitioning for adequate representation on the board.

11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under [Section 676B\(b\)\(2\)](#) of the CSBG Act. ☐ Yes ☒ No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
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SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

[Check one item below.]

125% of the HHS poverty line

% *[Response Option: numeric field]*

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

page 14 of the State Policies and Procedures Manual

12.2. Income Eligibility for General/Short-Term Services:

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

Entities verify income eligibility for all services.

12.3. Community-targeted Services:

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

During monitoring visits, State staff request documentation to verify community activities are targeted to low-income communities.

Section 13: Results Oriented Management and Accountability (ROMA) System

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 13

Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by [Section 678E\(a\)](#) of the CSBG Act and the assurance under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.



The Results Oriented Management and Accountability (ROMA) System



Another performance management system that meets the requirements of [Section 678E\(b\)](#) of the CSBG Act



An alternative system for measuring performance and results.

13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

The entities submit assurances that they will participate in ROMA. Provisions for reporting on ROMA goals are included in the CSBG contracts and in policies and procedures manual.

13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.



CSBG National Performance Indicators (NPIs)



NPIs and others



Others

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.

The State mandated use of a data system for entities to use to capture ROMA results. Support is provided by CSBG State staff as needed.

13.4. Eligible Entity Use of Data:

How is the State validating that the eligible entities are using data to improve service delivery?

Note: This response will also link to the corresponding assurance, Item 14.12.

State staff review the entities' quarterly ROMA reports to validate that entity's CAP are being followed and results are on target to meet goals.

Community Action Plans and Needs Assessments

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.11.

Page 13 of CSBG policy and procedures manual

13.6. State Assurance:

Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.11.

This is part of the CAP approval process - page 11 of the State policies and procedures

Section 14: CSBG Programmatic Assurances and Information Narrative

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 14

CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the State will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

- (i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;
 - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
 - (iv) to make better use of available income;
 - (v) to obtain and maintain adequate housing and a suitable living environment;
 - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
 - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to -
- (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
- (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

The State reviews and approves each entity's Community Action Plan (CAP) to assure that funds are allocated appropriately to meet the activities. During monitoring visits, documentation is reviewed to ensure the funds are expended as approved in CAP.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the State will assure "that funds made available through grant or allotment will be used -

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs;

The State encourages agencies to provide youth activities or partner with organizations that provide youth activities. The State reviews and approves each entity's Community Action Plan (CAP) and if youth activities are included the State, during monitoring visits, will review documentation to ensure the funds were expended as approved in CAP.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the State will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

The State encourages, at every opportunity, agencies to coordinate with other programs. The State reviews and approves each entity's Community Action Plan (CAP) to assure that funds are allocated appropriately to meet the activities. During monitoring visits, documentation is reviewed to ensure the funds are expended as approved in CAP.

State Use of Discretionary Funds

14.2 676(b)(2) Describe "how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in [section 675C\(b\)](#) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."

Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the State, a description of..."

14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;

Funds are distributed to the State's twenty-one community action agencies who provide services to low-income individuals and families in all of Alabama's 67 counties. Agencies enter all client information including demographics, income, race, gender into the State data system and eligibility for services is determined. The agency staff then provide appropriate services or make appropriate referrals for services.

Eligible Entity Linkages - Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).

Some agencies offer fatherhood initiative programs to encourage parenting. Agencies may work with local court systems to provide mandated parenting classes. Other agencies may use funding to enhance Foster Grandparent programs/

Eligible Entity Emergency Food and Nutrition Services

14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."

Some agencies maintain an emergency food pantry in order to counteract conditions of starvation and malnutrition among low-income individuals. Some agencies make referrals to food banks or other entities to provide emergency food. Most agencies coordinate with local senior nutrition centers to make referrals for congregate meals and home-delivered meals and nutrition education. The State will assure these activities are carried out through monitoring activities.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

14.5. 676(b)(5) Describe how the State will assure "that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act."

Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

State Coordination/Linkages and Low-income Home Energy Assistance

14.6. 676(b)(6) Provide "an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."

Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

Federal Investigations

14.7. 676(b)(7) Provide "an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D."

Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

Funding Reduction or Termination

14.8. 676(b)(8) Provide "an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)."

Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

14.9. 676(b)(9) Describe how the State will assure "that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.6.

Eligible Entity Tripartite Board Representation

14.10. 676(b)(10) Describe how "the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."

Note: The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the State will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the State will carry out the assurances described in this section."

Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.



By checking this box, the State CSBG authorized official is certifying the assurances set out above.

Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

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SECTION 15 Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

 2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

 3. For grantees other than individuals, Alternate I applies.

 4. For grantees who are individuals, Alternate II applies.

 5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

 8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about - -

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a)The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b)If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency

designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -
Primary Covered Transactions

Instructions for Certification

 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

 7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions

 8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant

may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

 9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

 10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below

 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

 4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -
Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

15.3. Debarment

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

15.4. Environmental Tobacco Smoke

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.